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# National Institute of Justice

## S o l i c i t a t i o n

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*Jeremy Travis, Director*

*April 1997*

### Solicitation for Research and Evaluation on Violence Against Women

**APPLICATION DEADLINE:**  
*June 25, 1997*

**U.S. Department of Justice**  
**Office of Justice Programs**  
633 Indiana Avenue N.W.  
Washington, DC 20531

**Janet Reno**  
*Attorney General*  
U.S. Department of Justice

**John C. Dwyer**  
*Acting Associate Attorney General*

**Laurie Robinson**  
*Assistant Attorney General*

**Jeremy Travis**  
*Director, National Institute of Justice*

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Justice Information Center  
World Wide Web Site  
<http://www.ncjrs.org>

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## **Solicitation for Research and Evaluation on Violence Against Women**

### **I. Introduction**

This request for proposals announces a third year of evaluation and research support on the Violence Against Women Act (Title IV) of the Violent Crime Control and Law Enforcement Act of 1994 and related issues. It continues to be responsive to both the Congressional and public demand for accountability and the need to develop a knowledge base that examines policy and programmatic experience and recommends improvements to them. This third year will support approximately \$1,300,000 in projects that will provide for practitioner-researcher partnerships, and support other specified research and evaluation projects that contribute directly to effectively implementing the Act and assisting states achieve the goals and objectives they have established under the Violence Against Women Act.

### **II. Background**

Title IV of the Violent Crime Control and Law Enforcement Act of 1994 is the Violence Against Women Act. The Act responds to the needs of millions of women who are the victims of

violence each year. It also responds to the need for fundamental changes in addressing violence against women, and it responds to the special needs of women in minority and Native American communities who are violently victimized.

The VAW Act addresses these needs through a variety of provisions, including: a grant program to strengthen law enforcement, prosecution, and victim services in cases involving violent crimes against women; grants to prevent crime in public transportation and parks; education and prevention grants to reduce sexual assaults against women; a national domestic violence hotline which opened in February 1996; penalties under federal law for sex crimes; and a variety of other provisions and studies directed toward reducing violence against women and improving responses to women who are victims of violent crime.

#### **Law Enforcement and Prosecution Grants Under the VAWA: "STOP Grants"**

Chapter 2 under Subtitle A of the VAW Act provides support to the States and Indian tribal governments for criminal justice responses and victim assistance efforts. The program is referred to as the STOP Violence Against Women Program. It provided \$26 million in FY95, \$130 million in FY96, and \$145 million in FY97 for law enforcement, prosecution and victim services efforts aimed at reducing violence against women. Three additional years of support are anticipated under the Act. These VAW formula grants are intended to lay the foundation for on-going interventions that promote and increase an effective criminal justice system response to violence against women, and also increase the range of services for the victims of such violence.

Applicants may also be interested in the Solicitation for Evaluation of Arrest Policies Program Under the Violence Against Women Act which has a proposal due date of June 12, 1997. Copies of the solicitation are available electronically from the National Criminal Justice Reference Service home page (<http://www.ncjrs.org>), or in paper form from the Response Center at 800-421-6770.

Under the program, each state is eligible to apply for a base amount plus additional population based funds each year. States submit a plan and must allocate 25% of the funds to law enforcement, 25% to prosecution, and 25% to victim services. The remaining 25% may be allocated at the State's discretion within the parameters of the Act. Seven major purpose areas are cited in the Act and special emphasis is placed on underserved populations and Indian tribal governments. Guidelines for the program are available from the National Criminal Justice Reference Service at 800 851-3420 or 301 251-5500.

### **National Institute of Justice Research and Evaluation on Violence Against Women**

Prior to the VAWA, NIJ had supported research on spouse assault, child abuse, and sexual assault for many years. Family and intimate violence research and evaluation, particularly as it concerns the justice system, is now a major program area at NIJ that has been significantly enhanced by the VAWA.

The VAWA brought responsibility for a number of Congressionally mandated studies to NIJ. Among them are a research agenda on violence against women, a study of domestic and sexual violence data collection, a project on public access to information on the location of domestic violence victims, and a study of the validity and use of evidence concerning battering and its effects in criminal trials.

Over the years of the STOP program, NIJ has announced a research and evaluation program conducted in conjunction with the program efforts. This research and evaluation program is supported with funding transferred to NIJ from the Office of Justice Program's Violence Against Women Grants Office.

**The fiscal year 1995 solicitation** followed a March 1995 Strategic Planning Workshop which included researchers, practitioners and other agency policy makers. The 1995 solicitation encouraged proposals in three major areas. Part I addressed the need for a national evaluation of Subtitle A, Chapter 2 programs supported under the VAWA. One national level evaluation grant was awarded. Part II encouraged program evaluations at the State, local or tribal government level, and Part III of the solicitation sought proposals to evaluate other State or local efforts to counter violence against women and research that addressed significant policies and issues for improving responses to violence against women. Projects supported included: 1) a study of the experiences and needs of former stalking victims, 2) an evaluation of Alexandria's coordinated response to domestic violence, 3) a study of successful prosecution strategies in domestic violence, 4) a national sample survey on the extent and nature of sexual victimization of college women, and 5) a study of models of community coordination in response to partner violence. Most of these projects will conclude this year.

**The fiscal year 1996 solicitation** encouraged proposals in two major areas. Part I, which was allocated the major portion of funds, addressed the conduct of impact evaluations on the purpose areas of the STOP Grants. Part II encouraged other evaluations and related research on violence against women. Four purpose area grants and a supplemental grant to the National Evaluation were awarded. In addition three grants were awarded from the proposals received under Part II of the solicitation. These included: 1) an experimental study on court mandated counseling for domestic violence offenders, 2) a study of alcohol abuse and domestic violence, and 3) a study of the factors influencing judicial and prosecutorial decision making in domestic violence cases and factors that influence victim reluctance in bringing batterers to successful adjudication.

Over the course of the STOP Program, these research and evaluation projects along with NIJ's ongoing related family and intimate violence research program will enhance national, state and local interventions with an improved understanding of the problem, the issues, and effective strategies for addressing violence against women. The following fiscal year 1997 solicitation is intended to fill some of the remaining research gaps, to increase involvement of practitioners in the research and evaluation on violence against women, and to enhance the VAWA program's concern for policy relevant research and evaluation.

### III. Areas of Research Solicited

The following two sections solicit research and evaluation proposals in specific areas.

Approximately \$1,300,000 will be available to support eight to ten projects. Applications are encouraged both as small grants (up to \$50,000) and as larger efforts.

Applicants should be familiar with the VAW Act, the current NIJ program on Violence Against Women, and related research and evaluation. Through this solicitation, projects can be jointly supported by NIJ and other interested agencies if applicants have obtained or applied to other interested governmental or non-governmental funders.

#### A. Practitioner-Researcher Partnerships

Over the years NIJ has supported research that has been useful in modifying practice and formulating policy. Much of this research was done in cooperation with criminal justice and social service agencies. The domestic violence and sexual assault areas were among those that

have benefited from such cooperative arrangements which often involved a researcher gaining access to evaluate a program or analyze agency data. ***This solicitation however, goes beyond many of the past cooperative arrangements and encourages the formation of close working partnerships among researchers and at least two key practitioners groups relevant to the reduction of violence against women.***

These partnerships may be newly formed in response to this solicitation or they may build on an existing relationship between researchers and practitioners. The applicant may be either the practitioner agency or the research agency or academic institution. Applications from jurisdictions of all sizes are encouraged.

NIJ recognizes that in order for domestic violence and sexual assault service providers, police, prosecutors, and the judiciary to continue the development of their professions they need sound research and program evaluations. The Violence Against Women Act speaks to the need for coordinated community responses to these problems. ***Therefore this solicitation encourages practitioners to form close partnerships with researchers that will advance the growth of policy and practice that addresses violence against women.***

The ultimate goal is to engage practitioners and researchers in a process of collaboration directed toward grappling with issues around program efforts to reduce violence against women. The collaboration is to benefit all parties to the partnerships during and beyond the Federal funding period. The partnerships should help justice system practitioners and victim service providers develop a capacity to produce measurable indicators of how well they are achieving their program goals. True partnerships, therefore, should provide practitioners with policy relevant research and program evaluations in

which they have played a major participative role. The partnerships should also afford researchers better means and opportunities to contribute, through their direct partnerships with practitioners, to the growing body of knowledge that can be used to effectively address violence against women.

What has been learned by similar collaborations in the policing area is that a number of factors are critical to successful practitioner-researcher partnerships. These include a shared vision, a problem solving orientation, a clear definition of roles and responsibilities, effective communication, continuity of personnel, and an approach in which all of the partners benefit. Applicants should consider these factors in developing their proposals.

A wide range of partnership structures may be supported under this solicitation. For example, a partnership may consist of a local prosecutor, judge, victim service provider, and researcher; another may involve a researcher working directly with a local or state domestic violence coalition; or local victim service and shelter providers may partner with police and researchers. Research partnerships may also include other relevant local or state government agencies or private service providers. A critical element of the application is that it reflect a genuine collaboration regardless of who may have initiated the effort, and a focus on helping practitioners develop measurable indicators of the success of their programs and strategies. The application must clearly demonstrate a commitment to the partnership on the part of all parties involved.

As the partners initiate a collaboration in the development of a proposal, they should consider the spirit and intent of the VAWA in deciding on specific issues to be addressed. Priority will be given to collaborations that focus on VAWA initiated policies and programs. A particular

population may be addressed - victims of domestic violence, victims of sexual assault, rural women, Native American women, minority women, elderly or homeless women - or a particular policy, practice or issue relating to violence against women may provide the focus for the partnership, such as the impact of prosecution on recidivism in domestic violence cases.

Funding under this section is intended to support the establishment of the partnerships, the collaborative development of a policy relevant research agenda, the development of measurable indicators of program accomplishments, and the completion of at least one collaborative research project. The application must include a task outline that includes a schedule for the completion of the key tasks over the course of the project.

While the project may include one or more initial short term questions or issues to be addressed through the partnership, the completion of a specific research or evaluation effort is required. Documentation of the development of the partnership is critical, therefore the application must include a plan to create a system to record the establishment, development, and achievements of the research collaboration. Partnerships of up to 18 months in duration are encouraged. It is anticipated that three to five partnerships will be supported.

## B. Research Issues of Priority Interest

In addition to encouraging proposals on researcher-practitioner partnerships this solicitation seeks proposals on the following issues. Applicants are strongly encouraged to include victim advocate and criminal justice representation in the conduct of their project.

**Evaluation of State Antistalking Efforts and Legislation.** Proposals are encouraged that would address the effectiveness of State antistalking efforts and legislation. Applicants may propose a one to two year project that assesses both State antistalking legislation and other antistalking efforts. Applicants should provide a clear discussion of how they would operationalize “effectiveness.” Results would be incorporated into reports that are prepared for Congress.

To assist states in their efforts to respond to stalking, Congress in 1992 directed NIJ to develop model antistalking legislation that would be both constitutional and enforceable. Information on the code and related material can be found in the NIJ publication “Domestic Violence, Stalking, and Antistalking Legislation” dated April 1996. Interested applicants can contact the National Criminal Justice Reference Service for further information on this report.

### **Welfare Reform and Domestic Violence.**

Recent changes in Federal welfare requirements may have implications for women who are victims of domestic violence. Research is encouraged that would inform welfare policy, either welfare-to-work or child support enforcement, with a focus on the safety and protection of women and children who may be victims of domestic violence. One approach to study this issue would involve cross jurisdictional comparisons of several states that have

considered these issues in the formulation of their programs and in collaboration with community domestic violence, law enforcement and court resources.

**Victim Advocacy.** It has been suggested that legal advocacy to victims, and their friends and families, in understanding and navigating the justice system is important to the victims’ ongoing participation in the criminal justice system. The extent to which such advocacy is effective in carrying the case to final adjudication, and in improving the safety of the victim, has not been studied, thus research proposals on this issue are encouraged.

Other types of advocacy that could be evaluated under this section include advocacy within the police department to inform victims of possible outcomes when they seek to drop charges, other counseling, safety planning, emergency shelter, and civil legal advocacy. Evaluative projects in all areas of advocacy should consider the ways in which the particular advocacy service provided impacts and relates to the criminal justice system, and how case outcomes compare to those not afforded the advocacy.

**Media Campaigns.** Comprehensive, coordinated programs aimed at reducing violence against women have been encouraged and described but little attention has been given to the role of media as a partner in an integrated community-wide program. Descriptive and evaluative projects are sought that would examine the role of media as a key participant in communicating a community’s shared vision in addressing violence against women.

Measuring Program Effectiveness. The need for innovation in developing ways for practitioners and policymakers to know whether their programs and strategies are achieving the goals they have set

is acknowledged. This will require a new emphasis on measurable indicators that can be tracked by practitioners themselves over time, on qualitative measures, on culturally sensitive measures, and on the development of indicators using different levels of data. Outcome measures that go beyond reoffending need to be considered and utilized. New outcome measures could address stress, economic independence, quality of life, and offending with a new partner. The use of data from a variety of systems (criminal justice, social service, public health) is encouraged, as is the development of indicators of outcome that can be built into ongoing program record keeping and information systems. Projects may involve experimental designs, case studies, ethnography, victim and practitioner focus groups and surveys, the use of anecdotal data, data on secondary consequences, and other relevant approaches.

Dissemination. NIJ is also interested in expeditious and innovative methods to disseminate the results of policy studies, evaluations and research, that would supplement the more traditional dissemination approaches. This would include methods to make the results available at the local level in policy discussions and program improvement. Results of projects are expected to be reported to NIJ and the Office of Justice Programs as they become available. This will facilitate the dissemination of findings and innovations. Applicants should provide a discussion of the types of results or products that would become available over the course of the project.

## Administrative Guidelines

In this section applicants will find recommendations to grant writers, requirements for grant recipients, general application information, and application deadlines.

## Application Information

Please see "Requirements for Award Recipients" below for general application and eligibility requirements and selection criteria. Proposals not conforming to these application procedures will not be considered.

**Award amount.** Approximately \$1,300,000 to support up to ten grants will be made available under this NIJ solicitation.

**Due date.** Ten (10) copies of **fully executed proposals** should be sent to:

Solicitation for Research and Evaluation on  
Violence Against Women  
National Institute of Justice  
633 Indiana Avenue N.W., Room 303  
Washington, DC 20531

**Deadlines:** Completed proposals **must be received** at the National Institute of Justice by the close of business on **June 25, 1997**. Extensions of this deadline will not be permitted. Proposals must be complete; additions at a later date will not be accepted.

**The author(s) of the proposal should be clearly identified.** Proposals that are incorrectly collated, incomplete, or handwritten will be judged as submitted or, at NIJ's discretion, will be returned without a deadline extension. No additions to the original submission are allowed. Pages over the page limit will not be read. The Institute suggests that applicants make certain that they address the questions, issues, and requirements set forth below when preparing an application.

**Contact.** Applicants are encouraged to contact the U.S. Department of Justice Response Center to obtain information on application requirements for this solicitation as well as copies of the Arrest Policies Program application kit. The Response



Center can be reached at 800-421-6770, in the Washington, D.C., area at 202-307-1480, and by fax at 202-616-9249.

## Recommendations to Grant Writers

Over the past 5 years, Institute staff have reviewed approximately thousands of grant applications. On the basis of those reviews and inquiries from applicants, the Institute offers the following recommendations to help potential applicants present workable, understandable proposals.

### 1. What technical materials are required to be included in the application?

- A one-page abstract of the full proposal, highlighting the project's purpose, methods, activities, and when known, the location(s) of field research.
- A program narrative, which is the technical portion of the proposal. It should include a clear, concise statement of the problem, goals, and objectives of the project and related questions to be explored. A discussion of the relationship of the proposed work to the existing research literature is expected.
- A list of key personnel, as well as key positions that have yet to be filled.
- A statement of the project's anticipated contribution to criminal justice policy and practice. It is important that applicants briefly cite those particular issues and concerns of present-day criminal justice policy that stimulate the proposed line of inquiry and suggest what their own investigation would contribute to current knowledge.
- A detailed statement of the proposed research or study design and analytical methodologies. The proposed data sources, data collection strategies, variables and issues to be examined, and procedures of analysis to be employed should be delineated carefully and completely. When appropriate, experimental designs are encouraged because of their potential relevance to policymaking and the strength of the evidence they can produce.
- A Certificate of Confidentiality, if one is necessary under 28 CFR part 22.
- The organization and management plan to conduct the study. A list of major milestones of events, activities, and products and a timetable for completion that indicates the time commitments to individual project tasks should be included. All grant activities, including writing of the final report, should be completed within the duration of the award period.
- A plan to disseminate the results of the research, evaluation, technology, or demonstration beyond the jurisdictions and individuals directly affected by the project. The plan should identify the specific methods that will be used to inform the field about the project such as the publication of journal articles or the distribution of key materials. Expectations regarding products are discussed more fully in the following section, "Requirements for Award Recipients." Applicants must concisely describe the interim and final products and address each product's purpose, audience, and usefulness to the field. This discussion should identify the principal criminal justice constituency or type of agency for which

each product is intended and describe how the constituent group or agency would be expected to use the product or report. In addition, a schedule of delivery dates of all products should be delineated.

- The key personnel's curriculum vitae should summarize education, research experience, and bibliographic information related to the proposed work.
- A detailed statement identifying all machine readable and non-machine readable databases which will be developed as part of the proposed project. This statement should also identify any anticipated problems associated with the archiving of this data.
- **Past Performance.** In an Appendix to the proposal, applicants must list their prior and current funded grants with NIJ, and for each grant must indicate the status of the grant, and where appropriate, the products that resulted (final report, specific NIJ publications, other publications, etc.).

**2. What is the page order?** The requisite page order is given below. Omission of sections can result in rejection of the application:

1.SF 424. A copy of Standard Form (SF) 424. Application for Federal Assistance, plus instructions, appears in the back of this document. Please follow the instructions carefully and include all parts and pages. In addition to SF 424, recent requirements involve certification regarding (1) lobbying; (2) debarment, suspension, and other responsibility matters; and (3) drug-free workplace requirements. The certification form should be

signed by the appropriate official and included in the grant application.

2.Names and affiliations of all key persons from applicant and subcontractor(s), advisors, consultants, and Advisory Board members. Include the name of the Principal Investigator, title, organizational affiliation (if any), department (if institution of higher education), address, phone, and fax.

3.Abstract.

4.Table of Contents.

5.Budget narrative.

6.Assurances and Certifications, etc.

7.Negotiated rate agreement.

8.Program narrative.

9.References.

10.Resumés of key personnel.

**3. Is there a page limit? (a) Grants greater than \$50,000:** The Institute has established a limit of 30 double-spaced pages (with font size not smaller than 12 points) for all normal grant applications. This page limit does not include references, budget narrative, curriculum vitae, or necessary appendices. **(b) Applications for small grants (less than \$50,000):** are limited to 15 double-spaced pages. Proposals failing to conform to these page and font limitations will not be accepted.

**4. What are the specific costs involved?** The budget application should be presented clearly. Major budget categories such as personnel, benefits, travel, supplies, equipment, and indirect costs should be identified separately. The

components of "Other" or "Miscellaneous" items should be specified in the application budget narrative and should not include set-asides for undefined contingencies. Grant funds may be used to purchase or lease equipment essential to accomplishing the objectives of the project. The budget narrative must list such equipment and explain why the equipment is necessary. **Funds may not be used for operating programs, augmenting program staff time, writing texts or handbooks, training, or writing proposals.**

**5. How much detail should be included in the budget narrative?** The budget narrative should list all planned expenditures and detail the salaries, materials, and cost assumptions used to estimate project costs for the **full period** of the proposed project. Worksheets and sample budgets are included in the application package. The narrative and cost estimates should be presented under the following standard budget categories: personnel, fringe benefits, travel, equipment, supplies, contracts, other, and indirect costs. For multiyear projects, applicants must include **the full amount of NIJ funding** for the entire life of the project. **This amount should be reflected in item 15g on Form 424 and line 6k on 424A.** When appropriate, grant applications should include justification of consultants and a full explanation of daily rates for any consultants proposed. To avoid common shortcomings of application budget narratives, include the following information:

- Personnel estimates that accurately provide the amount of time to be spent by personnel involved with the project and the total associated costs, including current salaries for the designated personnel (e.g., Project Director, 50 percent of 1 year's annual salary of \$50,000 = \$25,000). If salary costs are computed using an hourly or daily rate,

the annual salary and number of hours or days in a work year should be shown.

- Estimates for supplies and expenses supported by a complete description of the supplies to be used, nature and extent of printing to be done, anticipated telephone charges, and other common expenditures, with the basis for computing the estimates included (e.g., 100 reports x 75 pages each x \$0.05/page = \$375.00). Supply and expense estimates offered simply as "based on experience" are not sufficient.

**6. What travel regulations apply to the budget estimates?** Transportation costs and per diem rates must comply with the policies of the applicant organization, and a copy of the applicant's travel policy should be submitted as an appendix to the application. If the applicant does not have a travel policy established in writing, then travel rates must be consistent with those established by the Federal Government. The budget narrative should state which regulations are in force for the project and should include the estimated fare, the number of persons traveling, the number of trips to be taken, and the length of stay. The estimated costs of travel, lodging, ground transportation, and other subsistence should be listed separately. When combined, the subtotals for these categories should equal the estimate listed on the budget form.

**7. To what extent may indirect costs be included in the budget estimates?** It is the policy of the Institute that all costs should be budgeted directly; however, if an applicant has an indirect cost rate that has been approved by a Federal agency within the past 2 years, an indirect cost recovery estimate may be included in the budget. A copy of the approved rate agreement should be submitted as an appendix to the application. If an applicant does not have an approved rate agreement, the applicant should contact the Office of the Comptroller, Office of Justice Programs, (202) 307- 0623, to obtain information about preparing an indirect cost rate proposal.

**8. What, if any, matching funds are required?** Units of State and local governments (not including publicly supported institutions of higher education) are encouraged to contribute a match (cash, noncash, or both) of requested funds. Other applicants also are encouraged to seek matching contributions from other Federal agencies or private foundations to assist in meeting the costs of the project.

**9. Should other funding sources be listed?** Applicants are expected to identify all other Federal, local, or private sources of support, including other NIJ programs, to which this or a closely related proposal has been or will be submitted. This information permits NIJ to consider the joint funding potential and limits the possibility of inadvertent duplicate funding. Applicants may submit more than one proposal to NIJ, but the same proposal cannot be submitted in more than one program area.

**10. What does the review process entail?** After all applications for a competition are received, NIJ will convene a series of peer review panels of researchers and criminal justice professionals. Panel members read each proposal and meet to assess the technical merits and policy relevance of

the proposed research. Panel assessments of the proposals, together with assessments by NIJ staff, are submitted to the Director, who has sole and final authority over approval and awards. The review normally takes 60 to 90 days, depending on the number of applications received. Each applicant receives written comments from the peer review panel concerning the strengths and weaknesses of the proposal. These comments may include suggestions for how a revised or subsequent application to NIJ might be improved.

**11. What are the criteria for an award?** The essential question asked of each applicant is, "If this study were successful, how would useful knowledge about criminal justice policies or operations be improved?" Four criteria are applied in the evaluation process:

- Impact of the proposed project.
- Feasibility of the approach to the issue, including technical merit and practical considerations.
- Originality of the approach, including creativity of the proposal and capability of the research staff.
- Economy of the approach. Applicants bear the responsibility of demonstrating to the panel that the proposed study addresses the critical issues of the topic area and that the study findings could ultimately contribute to a practical application in law enforcement or criminal justice. Reviewers will assess applicants' awareness of related research or studies and their ability to direct the research or study toward answering questions of policy or improving the state of criminal justice operations.

Projects should have a national impact or have potential relevance to a number of jurisdictions. Because of the broad national mandate of the National Institute of Justice, projects that address the unique concerns of a single jurisdiction should be fully justified.

Projects that intend to provide services in addition to performing research are eligible for support, but only for the resources necessary to conduct the research tasks outlined in the proposal.

Technical merit is judged by the likelihood that the study design will produce convincing findings. Reviewers take into account the logic and timing of the research or study plan, the validity and reliability of measures proposed, the appropriateness of statistical methods to be used, and each applicant's awareness of factors that might dilute the credibility of the findings. Impact is judged by the scope of the proposed approach and by the utility of the proposed products. Reviewers consider each applicant's understanding of the process of innovation in the targeted criminal justice agency or setting and knowledge of prior uses of criminal justice research by the proposed criminal justice constituency. Appropriateness of products in terms of proposed content and format is also considered.

Applicants' qualifications are evaluated both in terms of the depth of experience and the relevance of that experience to the proposed research or study. The applicant's performance on previous or current NIJ grants will also be taken into consideration in making funding decisions. Costs are evaluated in terms of the reasonableness of each item and the utility of the project to the Institute's overall research program.

**12. Who is eligible to apply?** NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees. Where appropriate, special eligibility criteria are indicated in the separate solicitations.

### **13. Does NIJ accept resubmission of proposals?**

The Institute will accept resubmission of a previously submitted proposal. The applicant should indicate for Question 8, Form 424, that the application is a revision. The applicant should include this information in the abstract. Finally, the applicant should prepare a one-page response to the earlier panel review (to follow the abstract) including (1) the title, submission date, and NIJ-assigned application number of the previous proposal and (2) a brief summary of responses to the review and/or revisions to the proposal.

## **NIJ Policy Regarding Unsolicited Proposals**

It is NIJ's policy to submit all unsolicited proposals to peer review. NIJ's peer review process takes place in periodic cycles; unsolicited proposals received will be included in the next appropriate review cycle.

## **Requirements for Award Recipients**

### **Data Confidentiality and Human Subjects Protection**

Research that examines individual traits and experiences plays a vital part in expanding our knowledge about criminal behavior. It is essential, however, that researchers protect subjects from needless risk of harm or embarrassment and proceed with their willing and informed cooperation. NIJ requires that investigators

protect information identifiable to research participants. When information is safeguarded, it is protected by statute from being used in legal proceedings: "[Such information and copies thereof shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings" (42 United States Code 3789g).

Applicants should file their plans to protect sensitive information as part of their proposal. Necessary safeguards are detailed in 28 Code of Federal Regulations (CFR), ¶22. A short "How-to" guide-line for developing a privacy and confidentiality plan can be obtained from NIJ program managers.

In addition, the U.S. Department of Justice has adopted Human Subjects policies similar to those established by the U.S. Department of Health and Human Services. In general, these policies exempt most NIJ-supported research from Institutional Review Board (IRB) review. These exceptions will be decided on an individual basis during application review. Researchers are encouraged to review 28 CFR 46, ¶46.101 to determine their individual project requirements.

## Required Products

Each project is expected to generate tangible products of maximum benefit to criminal justice professionals, researchers, and policymakers. In particular, NIJ strongly encourages documents that provide information of practical utility to law enforcement officials; prosecutors; judges; corrections officers; victims services providers; and Federal, State, county, and local elected officials.

Products must include: The recipient shall provide all products specified in the proposal. In addition, the recipient will comply with the following requirements:

- A summary of approximately 2,500 words highlighting the research findings and the policy issues those findings will inform. The material should be written in a style that will be accessible to policy officials and practitioners and suitable for possible publication as an NIJ Research in Brief.
- A full technical report, including a discussion of the research question, review of the literature, description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- Clean copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the NIJ publication **Depositing Data with the Data Resources Program of the National Institute of Justice: A Handbook**.

Additional products such as case studies and interim reports (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

## Public Release of Automated Data Sets

NIJ is committed to ensuring the public established its Data Resources Program in 1984. All NIJ award recipients who collect data are required to submit a machine-readable copy of the data and appropriate documentation to NIJ prior to the conclusion of the project. The data and materials are reviewed for completeness. NIJ staff then create machine-readable data sets, prepare users' guides, and distribute data and documentation to other researchers in the field. A variety of formats

are acceptable; however, the data and materials must conform with requirements detailed in Depositing Data With the Data Resources Program of the National Institute of Justice: A Handbook. A copy of this handbook is sent to each project director at the time of the award. For further information about NIJ's Data Resources Program, contact Dr. James Trudeau, (202) 307-1355.

## **Standards of Performance by Recipients**

NIJ expects individuals and institutions receiving its support to work diligently and professionally toward completing a high-quality research or study product. Besides this general expectation, the Institute imposes specific requirements to ensure that proper financial and administrative controls are applied to the project. Financial and general reporting requirements are detailed in Financial and Administrative Guide for Grants, a publication of the Office of Justice Programs. This guideline manual is sent to recipient institutions with the award documents. Project directors and recipient financial administrators should pay particular attention to the regulations in this document.

## **FINANCIAL REQUIREMENTS**

**Audit Requirement:** Audits of institutions of higher education and other non-profit institutions must comply with the organizational audit requirements of OMB circular A-133, which states that recipients who expend \$300,000 or more of Federal Funds during their fiscal year, are required to submit an organization-wide financial & compliance audit report within 13 months after the close of each fiscal year during the term of the award to their cognizant federal agency.

State and local units of governments must comply with the organizational audit requirements of OMB circular A-128, which states that recipients

who receive more than \$25,000 of Federal funds during their fiscal year, are required to submit an audit report to their cognizant federal agency. Recipients who receive less than \$25,000 of Federal Funds are exempt from the audit requirements.

## **Certifications regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirement:**

Applicants should read and sign the certification form included in this application kit. Signing this form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," and 28 CFR Part 67, "Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drug-Free Workplace (Grants)." The certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Justice in making awards.

**Suspension or Termination of Funding:** The Office of Justice Programs may suspend, in whole or in part, terminate funding for, or impose another sanction on a recipient for the following reasons:

- ◆ Failure to comply substantially with the requirements or statutory objectives of the (insert title of funding legislation), program guidelines issued thereunder, or other provisions of Federal law.
- ◆ Failure to make satisfactory progress toward the goals or strategies set forth in this application;

- ◆ Failure to adhere to the requirements in the agreement, standard conditions or special conditions;
- ◆ Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding;
- ◆ Failure to submit reports; or
- ◆ Filing a false certification in this application or other report or document.

Before imposing sanctions, the Office of Justice Programs will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in Department of Justice regulations in 28 CFR part 18.

## REPORTING REQUIREMENTS

### Progress Reports:

#### Discretionary Programs

Recipients of funding are required to submit an initial and then semi-annual progress report. The progress reports describe activities during the reporting period and the status or accomplishment of objectives as set forth in the approved application for funding. Progress reports are due for the first full quarter the award is active and then every six months after that for the remainder of the award period. Progress reports are due on the 30th day following the end of that reporting period.

For example, if the begin date of the award is October 1, the first report would cover the period from October through December and

would be due January 30. The next report would cover the period of January through June and would be due July 30. If the begin date on the award date is November 1, the first report would cover the period of November through March (January through March being the first full quarter the award is active) and would be due April 30. The next report would cover the period of April through September and would be due October 30. A report is due every six months.

A final report, which provides a summary of progress toward achieving the goals and objectives of the award, significant results, and any products developed under the award, is due 120 days after the end date of the award. Report forms will be provided to the recipient by the (name of the awarding agency.)

**Financial Status Reports:** Financial status reports (SF 269A) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted every quarter the award is active. The final report is due 120 days after the end date of the award. The Office of the Comptroller will provide a copy of this form in the initial award package.

Future awards and fund drawdowns may be withheld if the progress and financial status reports are delinquent.

### Program Monitoring

Award recipients and Principal Investigators assume certain responsibilities as part of their participation in government-sponsored research and evaluation. NIJ's monitoring activities are intended to help grantees meet these responsibilities. They are based on good communication and open dialogue, with



collegiality and mutual respect. Some of the elements of this dialogue are:

- Communication with NIJ in the early stages of the grant, as the elements of the proposal's design and methodology are developed and operationalized.
- Timely communication with NIJ regarding any developments that might affect the project's compliance with the schedules, milestones, and products set forth in the proposal. (See statement on Timeliness, below.)
- Communication with other NIJ grantees conducting related research projects. An annual "cluster conference" should be anticipated and should be budgeted for by applicants at a cost of \$1,000 for each year of the grant.
- Providing NIJ on request with brief descriptions of the project in interim stages at such time as the Institute may need this information to meet its reporting requirements to the Congress. NIJ will give as much advance notification of these requests as possible, but will expect a timely response from grantees when requests are made. NIJ is prepared to receive such communication through electronic media.
- Providing NIJ with copies of presentations made at conferences, meetings, and elsewhere based in whole or in part on the work of the project.
- Providing NIJ with prepublication copies of articles based on the project appearing in professional journals or the media, either during the life of the grant or after.
- Other required reporting requirements (Financial Reports, Progress Reports, Final

Reports, and other grant products) are spelled out above.

### **Timeliness**

Grantees are expected to complete award products within the timeframes that have been agreed upon by NIJ and the grantee. The Institute recognizes that there are legitimate reasons for project extensions. However, NIJ does not consider the assumption of additional research projects that impinge upon previous time commitments as legitimate reasons for delay. Projects with unreasonable delays can be terminated administratively. In this situation, any funds remaining are withdrawn. Future applications from either the project director or the recipient institution are subject to strict scrutiny and may be denied support based on past failure to meet minimum standards.

### **Publications**

The Institute encourages grantees to prepare their work for NIJ publication. In cases where grantees disseminate their findings through a variety of media, such as professional journals, books, and conferences, copies of such publications should be sent to the Program Manager as they become available, even if they appear well after a project's expiration. NIJ imposes no restriction on such publications other than the following acknowledgment and disclaimer:

This research was supported by grant number \_\_\_\_\_ from the National Institute of Justice. Points of view are those of the author(s) and do not necessarily represent the position of the U.S. Department of Justice.

Applicants should file their plans to protect sensitive information as part of their proposal. Necessary safeguards are detailed in 28 Code of Federal Regulations (CFR), 22. A short "how-to" guideline for developing a privacy and confidentiality plan can be obtained from NIJ program managers.

### Application Forms

All the requisite application forms are available electronically from the National Criminal Justice Reference Service home page (<http://www.ncjrs.org>), or in paper form from the Response Center at 800-421-6770. Copies are also available at the back of this document.

NIJ is trying to streamline its process to accommodate the volume of proposals anticipated under this and other Crime Act solicitations. Researchers can help in a significant way by sending NIJ a nonbinding letter of intent by June 6, 1997. The Institute will use these letters to forecast the numbers of peer panels it needs and to identify conflicts of interest among potential reviewers. There are three ways to send these letters. You can fill out the mailer on the last page of this solicitation. You can reach NIJ by Internet by sending e-mail to *tellnij@ncjrs.org* and identifying the solicitation and section(s) you expect to apply for. You can write a letter with the same information to Research and Evaluation on Violence Against Women, Fiscal Year 1997, 633 Indiana Avenue N.W., Washington, DC 20531. Help us help you.

For more information on the National Institute of Justice, please contact:

**National Criminal Justice Reference Service**

Box 6000  
Rockville, MD 20849-6000  
800-851-3420  
e-mail: askncjrs@ncjrs.org

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or telnet to bbs.ncjrs.org

To access the World Wide Web site, go to  
<http://www.ncjrs.org>

If you have any questions, call or e-mail NCJRS.

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